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Host-Nation Operations: Soldier Training on Governance (HOST-G) Training Support Package

Trevor M. Conrad, Rebecca Mulvaney, Alice Hirzel, Jennifer Stern, Steven Aude, and Lauren Tindall
ICF International

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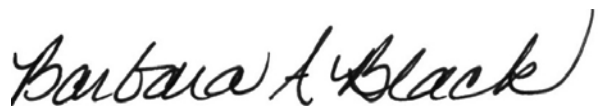U.S. Army Research Institute

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for the Behavioral and Social Sciences**

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14. ABSTRACT *(Maximum 200 words)*:
The Iraq and Afghanistan campaigns have taught the U.S. Army the importance of establishing and supporting local and national institutions in order to develop stability within the host-nation. As a result, Army leaders asked for governance training that will provide the knowledge, skills, and abilities that Soldiers at the unit level will need to carry out and support governance-related missions. This research product describes research and development efforts to address that critical need. The Host Nation Operations: Soldier Training on Governance (HOST-G) Training Support Package, which is contained in this product, can be utilized by leaders during training and when performing governance-related activities in theater. It contains multiple resources that can be used for understanding governance, to train specific activities, and assist with carrying out governance-related activities within the operational environment. The training and training materials were developed to be adaptive and applicable to any geographic region, country, or culture. In addition, the training can be used by leaders from platoon to brigade level. The training tools and job aids described here are available as two CDs in ARI Research Product 2011-06, "Host-Nation Operations: Soldier Training on Governance (Host-G) Training Tools and Job Aids."

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HOST-NATION OPERATIONS: SOLDIER TRAINING ON GOVERNANCE (HOST-G)
TRAINING SUPPORT PACKAGE

EXECUTIVE SUMMARY

Research Requirement:

 During interviews with battalion commanders, researchers from the U.S. Army Research
Institute for the Behavioral and Social Sciences learned of a critical need for training to support
missions aimed at developing, enhancing, and supporting legitimate host-nation governance
(Fite, Breidert, & Shadrick, 2009). Commanders spoke decisively of their desire for training that
would equip Soldiers with the knowledge and skills to carry out and support governance
missions. Unfortunately, such training was limited. The purpose of this project was to meet that
need by conducting research on the Soldier skills and best practices required to successfully
conduct governance operations and to use the results of this research to develop exemplar
training and associated TTP to introduce Soldiers at all levels to the fundamentals of legitimate
governance.

Procedure:

 The training tools and job aids developed in this research were based on a comprehensive
literature review and interviews with 25 subject matter experts (SME) from across a range of
perspectives. Data from our literature review were then used to create lists of critical governance
activities and develop an initial list of best practices in building legitimate government. The data
were also used to search for tools used in governance operations. The literature review also
informed the interview protocols and participant list. Interviews were conducted with U.S. Army
Soldiers and government civilians with expertise in the area of governance and host-nation
representatives. The interviews focused on how those individuals defined governance and
government legitimacy, typical governance-related activities, indicators of progress, challenges
and lessons learned, and governance training needs.

Findings:

 The literature review and interviews helped to develop a draft list of activities generally
conducted as part of governance-related operations. The interviews also helped to delineate
which activities are most commonly performed by Soldiers, non-commissioned officers, and
officers. In addition, the research captured methods for evaluating progress and several
important principles for carrying out governance missions.

Utilization and Dissemination of Findings:

The results of this research were utilized to develop exemplar computer-based training, training
tools, and job aids that could be used at the company to brigade level. The computer-based
training and a governance-focused situational training exercise provide pre-deployment
governance training for Soldiers. A continuity book annex, two methods for initially assessing

governance, and two additional resources to assist in evaluating overall progress within the governance line of effort were also developed. Those products will assist Soldiers in executing governance activities while in theatre.

HOST-NATION OPERATIONS: SOLDIER TRAINING ON GOVERNANCE (HOST-G)
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HOST-NATION OPERATIONS: SOLDIER TRAINING ON GOVERNANCE (HOST-G)
TRAINING SUPPORT PACKAGE

Introduction

According to U.S. Army doctrine, a primary objective of stability operations is to foster the development of effective governance by a legitimate government (Department of Army, 2008b). FM 3-07, *Stability Operations* (Department of the Army, 2008b) defines governance as "the state's ability to serve the citizens through the rules, processes, and behavior by which interests are articulated, resources are managed, and power is exercised in a society." Effective and legitimate governance ensures that the actions and decisions of leaders are transparent, accountable, and open to public participation. Good governance is critical to the stability of an area in that it helps to ensure basic services are sustainable and accessible to all citizens. The absence of a legitimate government is associated with instability, conflict, humanitarian crises, and, ultimately, failed states (Department of Army, 2008b).

During interviews with battalion commanders, researchers from the U.S. Army Research Institute for the Behavioral and Social Sciences (ARI) learned of a critical need for training to support missions aimed at developing, enhancing, and supporting legitimate host-nation governance (Fite, Breidert, & Shadrick, 2009). Commanders spoke decisively of their desire for training that would equip Soldiers with the knowledge and skills to carry out and support governance missions. At the time, however, such training was not widely available. The purpose of this effort was to meet that need by conducting research on the Soldier skills and best practices required to successfully conduct governance operations, and to use the results of that research to develop training and associated tactics, techniques, and procedures (TTP) to introduce Soldiers at all levels to the fundamentals of legitimate governance.

Method

Literature Search

The first research step involved a thorough examination of existing governance-related literature and relevant resources. The research team conducted an online review of Army websites and websites of international development organizations such as Center for Army Lessons Learned (CALL), Army Peacekeeping and Stability Operations Institute (PKSOI), U.S. Agency for International Development (USAID), U.S. State Department, and the U.S. Institute of Peace (USIP). We gathered and reviewed related Army doctrine, such as FM 3-0, *Operations*, FM 3-07, *Stability Operations* (Department of the Army, 2008b), FM 3-24, *Counterinsurgency* (Department of the Army, 2006), and FM 3-24.2 *Tactics in Counterinsurgency* (Department of the Army, 2009); manuals from the aforementioned military centers and development organizations; and documents from research and policy organizations, including RAND and The Brookings Institution. In addition, the team searched academic journals using EBSCO Host and incorporated a search of military journals such as *Military Psychology*, *Military Review*, and *Small Wars Journal*. The final step expanded upon the initial searches by using the reference lists from reviewed articles.

Data from the literature review were then used to create preliminary governance-related activity lists for Soldiers. Additionally, the data was used to develop a list of best practices in building legitimate government and to search for tools used in governance operations. The literature review also informed the interview protocols and participant list. An annotated bibliography of relevant sources that provides the resource, the focus of research, and the resource type (e.g., professional journal, government document) was also produced. The annotated bibliography is presented in Appendix A.

Interviews

After the literature search, interviews were conducted with subject matter experts (SMEs) representing a broad range of perspectives. The interviews were intended to solicit current and direct information from individuals with knowledge and experience of the challenges associated with trying to foster governance within host-nations, and individuals who have witnessed governance issues within their country and the attempts of the U.S. military to address them. Interviews included a total of 25 SMEs:

- command sergeant majors ($n = 4$),
- company-grade officers (captains, $n = 2$),
- field-grade officers (majors, $n = 3$; lieutenant colonels, $n = 3$; and colonels, $n = 2$),
- general officer (brigadier general, $n = 1$),
- civilians with international development experience ($n = 6$), and
- civilians representing the host-nations of Iraq and Afghanistan (e.g., former Iraqi mayor, former Iraqi citizen, former aide to President Hamid Karzai) ($n = 4$).

Soldiers were recruited primarily through research team and ARI contacts. Our host-nation representatives were recruited with assistance from the University of Nebraska at Omaha's Center for Afghan Studies, National Defense University, and the U.S. Army's Human Terrain System program. Civilians were identified through the literature search and through points of contact at development agencies.

Interviews took place during the fall of 2009 and ranged from one to two hours in length. Most were conducted over the phone, though some were conducted in-person. Participants received a brief "read ahead" by e-mail well in advance of their interviews (Appendix B). The Soldier and civilian versions of the interview protocol (Appendices C and E) focused on how the SME defined governance and government legitimacy, typical governance activities, indicators of progress, challenges and lessons learned, and governance training needs and existing resources. The host-nation SME protocol (Appendix D) focused on defining governance and governmental legitimacy, broad activities required to establish local governance and leadership, and perception of governance-related outcomes. In all protocols, we asked for governance-related critical incidents that could potentially be used in later training development.

After the interviews were completed and transcribed, we reviewed interview content and coded the data for each of four topic areas targeted by all three interview protocols:

- definition of legitimacy,
- governance-related activities,
- challenges,
- drivers of success (i.e., best practices), and
- challenges.

We used a modified grounded theory approach to analyze the data (Strauss, 1987). First, the three interviewers came to consensus on major themes that emerged from the interview data for each question or set of questions. Then, interview transcripts were coded for each theme to determine the frequency of mention and to categorize quotes and illustrations appropriately for training development purposes.

Results

The literature review and interviews with SMEs clarified what constitutes governance and the role of the U.S. Army when faced with the need to support the development of legitimate governance. In addition to identifying primary governance activities, the research delineated which activities non-commissioned officers and officers are commonly responsible for. The literature review and interviews also captured common challenges to governance efforts and best practices for carrying out this responsibility. The rich information derived from the research, such as the drivers of success, served as a foundation for the content of the Host-Nation Operations: Soldier Training on Governance (HOST-G) computer-based training.

Definition of Legitimacy

The general consensus on defining governance was that the definition used in Army doctrine (FM 3-07, *Stability Operations,* p. 2-8) is the most appropriate definition for any training or tools moving forward. This was the definition that was ultimately used in the HOST-G computer-based training program. In terms of what a local government or local leadership must do to be seen as legitimate, our SMEs agreed that legitimate governments must: be transparent and functional; meet the basic needs of the citizens, and be representative of the citizens; make and implement decisions; and, act justly and/or according to the law. Participants commented that a government does not need to look exactly like a Western government to been seen as legitimate and effective. One participant commented,

> *"A government doesn't need to look like it does in the West to work and to be legitimate. Empowering existing power structures might be the right way. Some of these structures have worked for hundreds of years, so don't just throw them out. Empower them, and make them more transparent and inclusive."* (U.S. government civilian)

Governance Activities

One of the critical pieces of information to come out of the research was a list of activities generally conducted as part of governance-related operations. Governance activities included:

- understanding and assessing the social, political, and economic environments,
- building cooperation amongst the population to restore legitimate governance,
- establishing basic services and government processes,
- advising and coaching local host-nation leaders,
- restoring essential services (e.g., food, water, shelter, and medical support),
- establishing and maintaining security,
- addressing corruption,
- running elections,
- synchronizing partnerships across all parties (military, civilian agencies, non-governmental organizations (NGO), host-nation leaders) for governance effort, and
- monitoring the sentiment of the population.

We asked the military SMEs about the nature of governance activities across ranks. SMEs generally agreed that officers would typically perform activities involving the accurate identification of local leadership, evaluating the competency of the local leadership; replacing unreliable leadership; providing feedback to local government on population sentiment, especially toward public services; and, fostering shared thinking among all elements in the area of operation (e.g., Provincial Reconstruction Teams (PRTs) and NGOs.

NCOs tended to have less interaction with local leaders than officers, but were mentioned as an important component of governance-related operations because they were typically tasked with performing daily, on-the-ground assessments of population sentiment. They, along with junior enlisted Soldiers, also played an important role in gathering the intelligence needed to understand the social, political, and economic environment. Everyone (officers, NCOs, and enlisted Soldiers) was responsible for re-establishing security and providing essential services that the local government was unable to provide. The SMEs also mentioned the role of the local leader (e.g., religious leader, business man, lay person). Ideally, local leaders would set the goals for developing effective local governance and direct the effort. For governance activities to succeed, it was important for local leaders to be actively involved in all governance and other development initiatives. However, SMEs also indicated that they had mixed experiences with leaders, as some were capable of managing those responsibilities while others were not. Ineffective leaders impaired the U.S. Army's ability make progress.

The SMEs emphasized that there are several important principles in carrying out the previously mentioned activities. Those principles included understanding and continuously assessing the environment; monitoring the general sentiment of the population; and, synchronizing partnership across all stakeholders, military and non-military, for host-nation governance. They noted that every single situation is different and, even if the unit is highly experienced in stability operations, it is critical that the unit gather as much information as possible throughout the assignment in order to maintain clear knowledge and understanding of

the local leaders and general population. One participant, commenting on the importance of both assessing the situation of the ground and coaching local leaders to do the same, reported,

> *"We would use a technique called a 'governor walk.' We just told the governor to be ready to go, and we went right to the center of the Arab community and did a walk. This allowed him to see the conditions there. He listened to his constituents."*(Colonel)

Drivers of Success (Best Practices)

All SMEs were asked to identify factors that were critical to the success of governance initiatives. A point that was emphasized across SMEs was that Soldiers must think in terms of partnership, instead of trying to address everything themselves. It is critical that Soldiers use opportunities to coach their counterparts, even when coaching takes more time and results are less than perfect. One participant noted:

> "*Our people are going to be meeting with district sub-governors daily. They [Soldiers] have to get them out of their offices, have town meetings, hear the concerns of the people and figure out ways to respond to them… They have to coach them in committee work and delegation. They have to coach them to get things for the people that they represent. These are things that the junior leaders need to do. They [host nation leaders] must understand the greater spectrum. These are the things that are expected of any government official in a democratic government*."
> (Lieutenant Colonel)

Another factor that was critical to the success of the Army's mission was active involvement with all of the groups in the area of operation, and ensuring that efforts were benefitting and reflecting all of the political parties, religious sects, neighborhoods, and families. An additional important factor was respecting the customs and cultures of the host-nation – and respecting them enough to incorporate them into processes or solutions that are established, rather than trying to westernize the governance process. Finally, Soldiers must be respectful of every individual encountered and have enough cultural awareness to know how to be respectful. An international development expert commented:

> *"The primary component of 'Development 101' is cultural awareness. Simple respect for other people goes a long way in governance. You must treat every person – even if they're in rags – with respect."*

Challenges

The SMEs mentioned a variety of challenges, but there were two challenges that were mentioned by most: the discontinuity in operations due to the relief-in-place/transfer of authority process and the difficulty of accurately identifying the existing local leadership or selecting more effective leaders. Discontinuity occurred when replacing units arrived and assumed the mission, but the new leaders did not have a full picture of the situation on the ground and how best to move efforts forward. One Command Sergeant Major said,

"By the time they establish trust with the village or province where they're working, it's almost time to move to a different area. There is a huge disadvantage to that change in leadership. Then the new leaders set their new priorities, and that's a setback."

The SMEs also mentioned that it was very difficult (in Iraq and Afghanistan) to identify leaders that were honest or effective partners. The SMEs often mentioned that a local leader would say that they supported U.S. efforts, but evidence showed that they were corrupt or linked to the insurgency. If the SMEs chose to replace those local leaders, it was challenging to find individuals who were willing to assume the leadership responsibilities or find individuals who had the requisite competencies to lead the governance effort. Those experiences, as described by SMEs, demonstrate the need for specific training that will enable future Army leaders to respond effectively to similar situations.

Table 1

Summary of Themes from SME Interviews

Definition of Legitimacy
What must local government or leadership do in order to be seen as legitimate?   • effectively meet the basic needs of the citizens (e.g., food, water, shelter, and medical support),   • be a representative of the citizens, and   • act justly and/or according to the law.
Governance Activities   *Main governance activities included:*   • understanding and assessing the social, political, and economic environments,   • building cooperation amongst the population,   • establishing basic services and government processes,   • advising and coaching host-nation leaders,   • restoring essential services,   • establishing and maintaining security,   • addressing corruption,   • running elections,   • synchronizing partnerships across all parties (military, civilian agencies, NGOs, host-nation leaders) for governance effort, and   • monitoring the sentiment of the population.   *Officers typically performed the following activities:*   • identifying the existing key leaders and evaluating their competency and willingness to cooperate, and   • connecting all levels of government and facilitating communication.   *Non-commissioned officers typically performed the following activities:*   • conducting daily, on-the-ground assessments of the population and environment.

Governance Activities (continued)

Everyone (Officers, NCOs, enlisted Soldiers) was responsible for:
- re-establishing security, and
- providing essential services that the local government was unable to provide.

The local leaders were responsible for:
- setting goals and leading the local effort to accomplish those goals.

Drivers of Success
Factors that were critical to the success of the governance activities included:
- allowing the host-nation leaders to learn to develop and manage governance efforts instead of doing it yourself,
- thinking in terms of partnership will all involved parties (military and non-military),
- being actively involved with all groups (e.g. political parties, sects, neighborhoods),
- avoiding imposing Western standards on the host-nation,
- respecting people, customs, and cultures, and
- ensuring that the local populace supports the effort and approach to establishing better governance.

The most important skills and/or knowledge that future Soldiers and leaders need to have prior to executing governance-related missions include the following:
- interpersonal and relationship-building skills, and
- a basic understanding of public administration and public services.

Success was determined by:
- a reduction in violence,
- the effectiveness of the security forces,
- the host-nation's view of success, and
- evidence of local government capability and/or responsibility.

Challenges
Some major challenged included:
- moving or transitioning Army units or leaders and the discontinuity that follows, and
- identifying the existing local leadership, evaluating their competency and cooperation, and replacing them if necessary.

Research Products

The results of the research were used to develop training and job aids for Soldier. Those products were developed around the most prominent themes that emerged from the interviews

and literature searches (e.g., building government on partnership and conducting governance-related needs assessments) and were intended to be a direct response to the needs we learned about during the research. For example, data from our literature searches and interviews with international development experts were used to create several assessment tools that are consistent with Army doctrine and previous assessment work (e.g., the Tactical Conflict Assessment Planning Framework). In addition, much of the information in HOST-G computer-based training (Conrad et al., in preparation) is conveyed using "Voices of the Field," which are largely comprised of examples provided by the subject matter experts.

During the summer of 2010, the HOST-G computer-based training, training tools, and job aids were reviewed by NCOs ($n = 7$) and officers ($n = 13$) to ensure accuracy and relevance for the target audience. The leaders provided favorable feedback regarding the utility and necessity of the training, but also provided specific feedback regarding which ranks and echelons the training is most applicable to and ways to increase its validity. The final products constitute the Host-Nation Operations: Soldier Training on Governance Training Support Package (TSP), presented in Appendix F, and accompanying training tools and job aids (ARI Research Product 2011-06). The following list of bullets describes the materials included in the training package:

- Host-Nation Operations: Soldier Training on Governance (HOST-G) Computer-Based Training – This training tool was designed to introduce non-commissioned and junior officers to the concept of governance and the Soldier skills and best practices necessary for long-term success of host-nation governance. It is intended to be used at the company and battalion level.
- Governance Activity List – This training tool allows unit leadership to develop governance-specific training that will better prepare their Soldiers to perform those duties in future operations. Use of the list provides a mechanism for evaluating and gauging progress in unit-level training. It can be used at the company or battalion level.
- Governance Situational Training Exercise (STX) – This training tool was intended to serve as a tool for training platoon-level leaders on individual and collective tasks, and a governance-related activity needed to effectively support local leaders in establishing legitimate governance. While company-level leaders are the intended audience, it could be applicable to combat training center scenarios that require demonstration of those skills.
- LEGIT Assessment Tool – This job aid is an on-the-job resource for in-country interaction with local leaders. It provides Solders at all levels with basic questions, observations, and tips to use in collecting essential information about local leaders and governance processes.
- Governance Annex to Continuity Books – This job aid provides in-country guidance for documenting governance-specific information that will be helpful to an incoming unit. It will help maintain consistency between units working in the same areas over different periods of time and enable the incoming unit to build upon the work done by the outgoing unit. The annex to continuity books is most appropriate at the company level.
- Governance Metrics Workbook – This job aid was designed to aid leadership at the battalion or brigade level in measuring and evaluating progress within the governance line of effort (LOE) during stability operations.

- Governance BOLO Worksheet – This job aid was designed to assist platoons, companies, and battalions in gathering the information that will allow them or their higher headquarters to measure and evaluate progress within the governance LOE during stability operations.

Future Research

The research described here resulted in a foundation of information about governance skills and best practices; however, the research was limited by its relatively small sample size. Future research should seek to include a wider range of participants. Future research should also seek to deepen the knowledge base on governance operations and other components of stability operations in order to create more detailed graduate-level training. In expanding the research, inclusion of participants with experience in Africa and other parts of the world will be critical in order for training to be more applicable across contexts. In expanding the knowledge base, an important first step will be collecting the existing training and best practices dispersed throughout the Army (e.g., at training centers, individual units). During this effort, we leveraged resources from a wide array of sources, but we heard of many others that were not accessible at the time. A more thorough search for those documents and tools would create efficiencies in developing more in-depth, detailed training.

Another important area for future work is evaluation of the training package created during this research. Ideally, this would consist of tracking utility of the training package for a unit from pre- through post-deployment. In addition, the HOST-G package could be vetted with SMEs experienced with governance operations in areas other than the Middle East in order to verify world-wide applicability. Finally, the STX portion should be vetted with a Combat Training Center. The outcomes of this research could include recommendations for enhancements to the HOST-G TSP and other governance tools.

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Appendix A

Annotated Bibliography

Host-nation governance is an emerging topic area with much attention from both the military and non-military sectors. The bibliography that follows was compiled by conducting literature searches of professional journals, independent policy and program reports, military teachings, military journals, military doctrine, government documents, and other media sites. In conducting those searches, the team used terms and phrases such as: governance, governmental legitimacy, governance activities, Army and governance, democracy and governance, Army and democracy, rule of law, host-nation governance, Africa and governance, Iraq and governance, and Afghanistan and governance. The bibliography also includes resources that have been recommended by interview participants.

While many aspects of governance best practice are yet to be rigorously tested, themes are beginning to emerge. For example, partnership among the coalition forces, external agencies, and the host-nation is key to success. Similarly, governance efforts must emphasize enabling locals to govern themselves. If they are not enabled, the development and function of government will be unsustainable. In addition, it is imperative that armed forces, government agencies, and non-governmental agencies assess each situation as an individual case. Although governance processes follow many patterns and themes, no two countries have the exact same needs. Those leading governance efforts, then, must use guidelines only as such, and should keep their minds as open as possible. The host nation has to be understood as thoroughly as possible by the military and other agencies so that they are able to provide the best aid and support possible with the greatest efficiency.

Four key areas of focus for this effort were:

    1. definition of governance and legitimate governance,
    2. governance-related activities,
    3. perspectives on governance, and
    4. measurement of governance.

Below each citation, we have indicated which of these areas that article addresses. A summary of articles by research focus and resource type is provided below.

Resource		Research Focus				Resource Type						
		Definitions	Activities	Perspectives	Measurement	Professional Journal	Independent Research	Military Academe	Military Journal	Military Doctrine	Government Document	Internet or Media
Arndt & Oman	2006				X		X					
Asia Foundation	2006			X	X		X					
Baltazar & Kvitashvili	2007		X						X			
Barno	2007		X						X			
Brinkerhoff	2005	X	X			X						
Brinkerhoff, Johnson, & Hill	2009	X	X				X					
Chiarelli & Michaelis	2005	X	X		X				X			
Chiarelli & Smith	2007		X						X			
Crane et al.	2009		X	X	X		X					
Department of the Army	2006	X	X	X	X					X		
Department of the Army	2008	X	X		X					X		
Dininio	2000	X	X								X	
Dobbins, Jones, Crane, & Debasse	2007		X				X					
Economic Commission for Africa	2004	X	X	X	X		X					
Fallon	2007		X									X
Green	2007a		X									
Green	2007b		X		X					X		
Hyman	2000		X	X							X	
International Bank of Reconstruction and Development	2006				X		X					
ISAF	2009		X	X							X	
Jones	2006				X			X				
Karzai	2009		X	X			X					
Kjær	2003	X	X				X					
Landman & Hauserman	2003	X			X		X					
Malkasian & Meyerle	2009		X		X		X					
McFate	2008	X					X		X			
Munck & Verkuilen	2002				X		X					
Natsios	2005	X	X		X				X			
Nyabuga	2009	X		X								X
Pinéu	2008	X	X			X						
San & Kwok	2006	X			X	X						
Shatzer	2006	X	X					X				
Smith & MacFarland	2008	X	X		X				X			
Sotirin, Agoglia, & Dziedzic	2008				X						X	

Resource		Research Focus				Resource Type						
		Definitions	Activities	Perspectives	Measurement	Professional Journal	Independent Research	Military Academe	Military Journal	Military Doctrine	Government Document	Internet or Media
Thomas	2006	X	X						X			
USAID	n.d.		X								X	
USAID	2005		X								X	
USAID	2000	X	X	X	X						X	
U.S. Department of State	2005		X								X	
U.S. Institute of Peace (USIP) and U.S. Army Peacekeeping and Stability Operations Institute (PKSOI)	2009		X									
Young	2007		X							X		

Appendix B

Sample "Read Ahead" Sent to Interview Participants

DEPARTMENT OF THE ARMY
ARI-FT HOOD RESEARCH UNIT
U.S. ARMY RESEARCH INSTITUTE
761ST BATTALION AVENUE
FORT HOOD, TEXAS 76544

**REPLY TO
ATTENTION OF:**

Thank you for allowing us to interview you. We sincerely appreciate your time and input. In order to better

Thank you for allowing us to interview you. We sincerely appreciate your time and input. In order to better prepare you for the interview, we are providing some additional detail regarding the current research, some of our working definitions, a list of the basic questions we intend to ask you, and a Privacy Act Statement requiring your signature. We hope that this information will help you feel more comfortable, and ensure that we have a healthy discussion.

Research Background

During recent interviews with U.S. Army commanders, researchers from the U.S. Army Research Institute for the Behavioral and Social Sciences (ARI) learned of a critical need for training to support missions aimed at developing and supporting legitimate host-nation governance. At this time, such training does not exist. In order to identify the skills that need to be trained, the concept of governance must be understood, the activities associated with governance must be determined, and measures to evaluate performance must be available. The U.S. Army's doctrine does provide an overarching framework upon which governance training can be developed. However, it does not provide sufficient detail for the identification of the requisite Soldier skills for governance-related missions.

Your experience and knowledge will help us in our understanding of governance and in the identification of the activities commonly associated with this line of effort.

The information that we gather from these interviews will help us to produce a number of training products. Those include web-based training to orient Soldiers to the concepts of governance, training materials to build and evaluate skill, and job aids for performing and measuring governance-related activities and their outcomes. We hope that the training will better prepare Soldiers to conduct governance missions, be more effective in their execution, and make a measurable and lasting impact within the host-nation.

Interview

Before the interview, please take a moment to review the included Privacy Act Statement. Please electronically sign it, submit it via e-mail, and keep a copy for yourself.

The interview is expected to take 60 minutes.

The information that you provide to us will remain anonymous but, with your permission, it will be recorded.

For our discussion, we will define "governance" as:

> "The system of rules, processes, and institutions that provides a mechanism for public decision-making."

During the interview, we will ask you to evaluate definitions of "governance" and "legitimate governance." We would also like to explore a list of possible governance-related activities. They are provided on the following page. We encourage you to review them and consider their relevance to your experience and the work that you performed.

A list of the intended interview questions is provided on subsequent pages. You are welcome to prepare answers, prior to the interview, if you desire.

We will conclude the interview by asking you to share an experience or event that you think is a good example of what went well or went poorly when you were performing governance-related work.

Contacting Us

Should you have any comments, questions, or concerns, feel free to contact me.

v/r,

Dr. Jeffrey E. Fite
U.S. Army Research Institute

Possible Governance-Related Activities

- Addressing Corruption
- Establishing or Supporting the Election Process
- Establishing or Enforcing Rule of Law
- Identifying Leadership or Encouraging Role in Governance
- Managing Disbursement of Funds/Developing Budgets
- Assessing the Basic Needs of Populace

- Facilitating Open Communication
- Establishing or Supporting Public Management
- Supporting Basic Public Services
- Establishing Property Rights
- Managing Distribution of Public Resources
- Establishing or Maintaining Security

Appendix C

Protocol for Interviews with Soldiers

ARI GOVERNANCE INTERVIEWS

Protocol for Soldiers/Leadership

INTRODUCTION & RESEARCH PURPOSE

My name is _____. I work for ICF International, which is a research firm located in Fairfax, VA. The U.S. Army Research Institute (ARI) has contracted with us to help conduct this research. Our team has been working on defining governance and determining the training activities together with tactics, techniques and procedures (TTP) that would best prepare tactical units and their Soldiers to address the governance needs of a local population. We are hoping to gather information from you on your experiences while engaged in governance, including the types of activities involved, challenges in establishing governmental processes, and lessons learned.

DEFINITION & BACKGROUND

For the purpose of our discussion, our working definition of governance is: "*The system of rules, processes, and institutions that provides a mechanism for public decision-making.*"

1. Does your experience with governance suggest that our definition is complete?
    a. What would you add or take away from it?

2. What must government do to be seen as *legitimate*?

3. Broadly speaking, what was the situation that you found yourself in that provided you with governance experience?
    a. What was your role?
    b. At what unit level were you working (if a. does not answer)?
    c. Where were you deployed?
    d. What caused governance to become part of your mission?

RELEVANT GOVERNANCE ACTIVITIES & PERFORMANCE

In association with our working definition, we have tentatively identified the following activities that are commonly needed to foster governance in a given locale where U.S. Army Soldiers may be deployed:

Addressing Corruption	Facilitating Open Communication
Establishing or Supporting the Election Process	Establishing or Supporting Public Management
Establishing or Enforcing Rule of Law	Supporting Basic Public Services
Identifying Leadership or Encouraging Role in Governance	Establishing Property Rights
Managing Disbursement of Funds/Developing Budgets	Managing Distribution of Public Resources
Assessing the Basic Needs of Populace	Establishing or Maintaining Security

4. Can you describe the types of governance activities that you have participated in?

    a. What activities were involved in carrying each of these activities out (Note: Go through each activity that they list)?

i. Army tasks are generally defined by task, conditions, and standard. Did you participate in or observe the same task performed under different conditions or circumstances? If so, did how the task carried out change?
b. How often were you engaged in these types of tasks during your mission?

5. Did the governance activities performed by leaders and Soldiers at higher and lower levels in the unit differ in any way from what you and your Soldiers were doing? If so, how?
    a. What activities did Officers typically perform?
    b. What activities did Non-Commissioned Officers (NCOs) normally perform?
    c. What activities did enlisted Soldiers perform?
    d. Were there activities that were common to everyone – officers, NCOs, enlisted Soldiers?

6. Did you interact with other Army elements (i.e., Provincial Reconstruction Team; Civil Affairs) to perform governance activities? If so, what were they doing that was the same or different than what you and your unit was doing?
    a. Did you interact with other agencies (i.e., NGOs, DOS) to perform governance activities? If so, what were they doing that was the same or different than what you and your unit was doing?
    b. Did you have any external support, where you were able to use "reachback" capability to help you in carrying our governance activities? Were there any experts whose opinions you were able to learn from?

7. What was the role of the local population and their leaders in executing governance activities?
    a. What part did they play in governance efforts?
    b. How did they react to your attempts at promoting governance?
        i. What prompted them to be positive?
        ii. What caused them to be negative?

8. What types of tools/resources/guidance did you rely on to perform governance activities?
    a. Did you have training in governance?
    b. Were there manuals, TTP, SOPs or some other tool that you used as a resource?

9. Before we move on, let's look back at our list of governance-related activities. Is there anything we should add or take away based on what we have talked about so far?

GOVERNANCE OUTCOMES

10. In your experience, what factors were critical to the success of the governance activities (probe for awareness, knowledge and understanding of current political system, cultural sensitivity)?

11. How did you know whether or not your efforts were succeeding? How do you define success in this situation?

12. What were the challenges in carrying out these activities?

13. Can you describe any instances where the governance effort failed? What happened? What would you do differently the next time?

14. Overall, do you have any lessons learned in addressing governance challenges?

TRAINING NEEDS

15. What are the most important skills or knowledge that future Soldiers and leaders need to have prior to deploying and executing governance-related missions?

a. If there were one or two things that you wish you had known before you went on your mission, what would they be?

b. What would be the best way to implement training on this topic?

16. Do you know of any training materials that have been developed for governance related activities? What about guides or take-with-you check lists? Or TTP useful for planning and executing governance related activities?
   a. Where and how would I obtain a copy?

17. Is there anything else about your governance experiences that would be important for us to know as we develop training?

CRITICAL INCIDENTS

18. Can you tell me about an experience or event that you think is a good example of what U.S. personnel did very well or did very poorly related to the governance activities you performed?

FOLLOW-UP

19. Do you know anyone else that is very knowledgeable about governance operations?
   a. How would we contact them?

20. In the near future, we will be conducting a follow-up survey regarding governance activities.
   a. Would you be willing to participate?
   b. What is your e-mail and phone number?

Thank you

Appendix D

Protocol for Interviews with Host-Nation Individuals

ARI GOVERNANCE INTERVIEWS

Protocol for Host-Nation Individuals

INTRODUCTION & RESEARCH PURPOSE

My name is _____. I work for ICF International, which is a research firm located in Fairfax, VA. The U.S. Army Research Institute (ARI) has contracted with us to help conduct this research. Our team has been working on defining governance and determining the training activities together with tactics, techniques and procedures (TTP) that would best prepare tactical units and their Soldiers to address the governance needs of a local population. We are hoping to gather information from you on your experiences while engaged in governance, including the types of activities involved, challenges in establishing governmental processes, and lessons learned.

DEFINITION & BACKGROUND

For the purposes of our discussion, our working definition of governance is: "*The system of rules, processes, and institutions that provides a mechanism for public decision-making.*"

1. Do your observations or your experience with governance suggest that our definition is complete?
   a. What would you add or take away from it?

In association with our working definition, we have tentatively identified the following activities that are commonly needed to foster governance in a given locale:

Addressing Corruption	Facilitating Open Communication
Establishing or Supporting the Election Process	Establishing or Supporting Public Management
Establishing or Enforcing Rule of Law	Supporting Basic Public Services
Identifying Leadership or Encouraging Role in Governance	Establishing Property Rights
Managing Disbursement of Funds/Developing Budgets	Managing Distribution of Public Resources
Assessing the Basic Needs of Populace	Establishing or Maintaining Security

2. In your opinion, what is the most important thing that local leadership must do for their people (e.g., provide security; provide infrastructure such as roadways; provide services such medical service; help build a stable economy/industry/jobs)?

3. What must local government or leadership do in order to be seen as *legitimate*?

4. Can you briefly describe your involvement with or observations of governance activities?

5. Can you describe the general effectiveness of your local government/leadership prior to any U.S. governance intervention?
   a. What did they do well?
   b. What did they not do well (e.g., reduce corruption, provide basic resources, communicate their activities better, address grievances, provide security)?

PERCEPTIONS OF U.S. PERSONNEL PERFORMING GOVERNANCE ACTIVITIES

6.   What U.S. or other international personnel did your local government/leadership interact with (e.g., NGO, USAID, military)?

7.   What were the primary activities that the U.S. or other international personnel worked on with your local government/leadership? (Use listed activities above as general guidance)

8.   What was the role of the local leadership in executing governance activities?

PERCEPTIONS OF GOVERNANCE OUTCOMES

9.   How successful do you think they were in accomplishing these activities?
   a.   What were the outcomes?
   b.   What was the reaction of the local leaders?
   c.   Overall, do you think they were effective? Why do you think so?

10. What could the U.S. or other international personnel have done better in working with your local government/leadership?

11. Using the list of activities above, which activities do you think the U.S. personnel perform best or are most needed for?

CRITICAL INCIDENTS

12. Can you tell me about an experience or event that you think is a good example of what U.S. or other international personnel did very well or did very poorly?

Appendix E

Protocol for Interviews with Civilian Subject Matter Experts

ARI GOVERNANCE INTERVIEWS

Protocol for Civilians

INTRODUCTION & RESEARCH PURPOSE

My name is _____. I work for ICF International, which is a research firm located in Fairfax, VA. The U.S. Army Research Institute (ARI) has contracted with us to help conduct this research. Our team has been working on defining governance and determining the training activities together with tactics, techniques and procedures (TTP) that would best prepare tactical units and their Soldiers to address the governance needs of a local population. We are hoping to gather information from you on your experiences while engaged in governance, including the types of activities involved, challenges in establishing governmental processes, and lessons learned.

DEFINITION & BACKGROUND

For the purpose of our discussion, our working definition of governance is: "*The system of rules, processes, and institutions that provides a mechanism for public decision-making.*"

1. Does your experience with governance suggest that our definition is complete?
    a. What would you add or take away from it?
    b. How is this different than capacity building? How do they fit together?

2. What must government do to be seen as *legitimate*?

3. Broadly speaking, what was the situation that you found yourself in that provided you with governance experience?
    a. What was your role?
    b. Where did you gain this experience?
    c. What caused governance to become part of your mission?

RELEVANT GOVERNANCE ACTIVITIES & PERFORMANCE

In association with our working definition, we have tentatively identified the following activities that are commonly needed to foster governance in a given locale:

Addressing Corruption	Facilitating Open Communication
Establishing or Supporting the Election Process	Establishing or Supporting Public Management
Establishing or Enforcing Rule of Law	Supporting Basic Public Services
Identifying Leadership or Encouraging Role in Governance	Establishing Property Rights
Managing Disbursement of Funds/Developing Budgets	Managing Distribution of Public Resources
Assessing the Basic Needs of Populace	Establishing or Maintaining Security

4. Can you describe the types of governance activities that you have participated in?

    c. What tasks were involved in carrying each of these activities out (Note: Go through each activity that they list)?

d. How often were you engaged in these types of activities during your mission?

5. What types of tool/resources/guidance did you rely on to perform those activities (e.g., checklists, manuals, etc.)? (Note: If they mention something here, see if we can get a copy)

6. What was the role of the local population and their leaders in executing governance activities?
    a. What part did they play in governance efforts?
    b. How did they react to your attempts at promoting governance?
        i. What prompted them to be positive?
        ii. What caused them to be negative?

7. How do the activities change from culture to culture? What components of governance remain the same, regardless of culture?

8. Before we move on, let's look back at our list of governance-related activities. Is there anything we would add or take away based on what we have talked about so far?

GOVERNANCE OUTCOMES

9. In your experience, what factors were critical to the success of the governance activities (probe for awareness, knowledge and understanding of current political system, cultural sensitivity)?

10. How did you know whether or not your efforts were succeeding? How do you define success in this situation?

11. What were the challenges in carrying out these activities?

12. Do you have any lessons learned from carrying out governance activities?

TRAINING NEEDS

13. If you are preparing someone to go overseas and work on governance activities, what are the most important skills or knowledge that they need to have to be successful?
    a. How tied would this be to the specific culture they will be working with vs. which skills or knowledge would be important regardless of country?

14. Do you know of any training materials that have been developed for governance related activities? What about guides or take-with-you checklists? Or TTP useful for planning and executing governance related activities?
    a. Where and how would I obtain a copy?

15. Is there anything else about your governance experiences that would be important for us to know as we develop training?

CRITICAL INCIDENTS

16. Can you tell me about an experience or event that you think is a good example of what U.S. personnel did very well or did very poorly related to the governance activities you performed?

Appendix F

Host-Nation Operations: Soldier Training Support Package for Governance

Host-Nation Operations:
Soldier Training Support Package
for Governance

TABLE OF CONTENTS

INTRODUCTION

"*You* [military professionals] *must know something about strategy and tactics and logistics, but also economics and politics and diplomacy and history. You must know everything you can know about military power, and you must also understand the limits of military power. You must understand that few of the important problems of our time have…been finally solved by military power alone.*"

<div align="right">President John F. Kennedy</div>

Purpose of Training Support Package

The Iraq and Afghanistan campaigns have taught the United States Army the strategic importance of establishing and supporting local and national institutions in order to provide the host-nation with the means to solve the problems that create instability, insurgency, and civil war. Every Soldier and leader is a potential facilitator of, or detractor from, efforts which help rebuild and restore governmental legitimacy. Therefore, it is critical to train every Soldier to understand the importance of governance, what activities contribute to restoring legitimacy, what role and responsibilities they have, and what impact their effort can have at the local level. Training will better prepare Soldiers to perform these activities in a formal manner when future missions require and help to ensure long-term operational success.

This training support package was developed to address that need and should be utilized by leaders during training and when performing governance-related activities in theater. It contains multiple resources that can be used for understanding governance, to train specific activities, or assist with carrying out governance-related activities within the operational environment. The training and training materials were developed to be adaptive and applicable to any geographic region, country, or culture. In addition, the training can be used by leaders from platoon to brigade level.

Because this package is intended to help fill a critical training gap, the training resources present new concepts and activities that attempt to expand the state of knowledge regarding governmental legitimacy. Users should not construe the training package or the resources contained therein as doctrine or official Army documents.

GOVERNANCE TRAINING ACTIVITIES

GOVERNANCE ACTIVITY LIST

Purpose
The list of governance-related activities was derived from general guidance provided by doctrine (FM 3-07, *Stability Operations*; FM 3-24 *Counterinsurgency*; and FM 3-24.2, *Tactics in Counterinsurgency*) and organizations like the United States Agency for International Development (USAID), which have extensive experience in fostering democracy and governance within developing countries. The list provides greater specificity to the governance activities identified in FM 3-24 (pg. 5-15). The additional detail also permits training to occur on an activity-by-activity basis. Based on input from Army leaders, the list further identifies who is most likely to perform each activity – be it officers, NCOs, or Soldiers.

Instructions for Use
The list allows unit leadership to develop governance-specific training that will better prepare their Soldiers to perform those duties in future operations. Leaders can select activities that are most germane to their requirements or focus on building proficiency within a target group of Soldiers. Use of the list provides a mechanism for evaluating and gauging progress in unit-level training.

The list can also be used as an evaluative checklist during larger training exercises. Whether during a field training exercise, or rotation at a combat training center, contemporary training scenarios emphasize partnering with the host-nation to achieve strategic objectives. This will often entail working with local leadership to increase their capacity to effectively and legitimately govern. Unit leaders or observer/controllers can rely on the list to assess whether Soldiers are taking the appropriate steps to support local governance.

Governance Activities and Groups Responsible for Their Execution			
	Soldier	NCO	Officer
Understand and Assess the Social/Political/Economic Environment			
Interact with and engage local population in conversation to learn and obtain governance-related information.	X	X	X
Gather information (through observations, interviews, literature reviews, etc.) about the legitimacy of the government in your area of operations (AO) to include its leadership, budgeting and decision making processes, services provided, grievance system, methods of assessing populace concern and sentiment, transparency and accountability, ethics/corruption, populace stake and participation in governance, election/selection of leadership, and governing employees.		X	X
Identify unmet governance needs, such as processes to interface with constituents, basic administrative processes, and mechanisms to select and vet leaders and civil service staff.		X	X
Assess progress of local government towards attaining legitimacy and meeting populace needs.		X	X

GOVERNANCE TRAINING ACTIVITIES

Governance Activities and Groups Responsible for Their Execution	Soldier	NCO	Officer
Observe and record functional and dysfunctional indicators of local governance.		X	X
Analyze and synthesize information about the legitimacy of the local government in your AO to include its leadership, budgeting and decision making processes, services provided, grievance system, methods of assessing populace concern and sentiment, transparency and accountability, ethics/corruption, populace stake and participation in governance, election/selection of leadership, and governing employees.			X
Prioritize local governance needs and gaps.			X
Build Cooperation Among Population			
Treat indigenous populace with respect.	X	X	X
Set the example for good governance in your individual actions (e.g., use established administrative processes, be respectful at local meetings).	X	X	X
Interact with and engage local population to communicate governance-related accomplishments and themes.		X	X
Interact with and engage local population to detect and correct inaccurate perceptions of local governance.		X	X
Take action to mitigate or neutralize unit-level or individual-level actions that have set back efforts to re-establish local governance.		X	X
Conduct deliberate outreach activities in conjunction with local officials to strategically communicate governance-related issues and progress.			X
Create a knowledge base and political consensus for effective fiscal policy at the local level.			X
Establish Basic Services and Government Processes			
Identify and apply knowledge of higher governance systems that influence governance in your AO.	X	X	X
Identify and apply knowledge of current indigenous methods and systems of governance in your AO.	X	X	X
Identify and apply knowledge of the history of governance in your AO.		X	X
Participate in indigenous local meetings and councils.		X	X
Provide budgetary oversight for funding of local governance projects.		X	X
Support and provide essential services until local governance systems can be restored.		X	X
Develop and execute training for local officials and civil servants.		X	X
Identify and apply best practices for the establishment of local governance and its supporting systems and services.			X
Influence upward through host nation and U.S. leadership to positively affect change in governance in your AO.			X

GOVERNANCE TRAINING ACTIVITIES

| Governance Activities and Groups Responsible for Their Execution			
	Soldier	NCO	Officer
Advise and Coach Host-Nation Leaders			
Coach/build skills in local leadership's ability to lead and manage governance-related meetings and decision-making processes.		X	X
Assist local leadership in the creation of a long-range community development plan.		X	X
Communicate examples of what good governance looks like.		X	X
Coach host-nation civil servants in facilities/essential services management.		X	X
Coach/train local law enforcement in effective implementation of the local legal system.		X	X
Coach host nation leaders and civil servants in the gathering and use of local populace sentiment/satisfaction measures.		X	X
Facilitate and coach host nation leader interactions with higher and adjacent governance officials.		X	X
Transition authority and responsibility for leadership and decision-making back to local, indigenous leadership.		X	X
Transition responsibility, administration, and execution of essential services back to local, indigenous leadership.		X	X
Coach local leadership in how to maintain budgetary oversight of funds.			X
Coach locals to replace ineffective leadership.			X
Other Governance Support Activities			
Observe and report indicators of corruption.	X	X	X
Provide security throughout the area.	X	X	X
Plan, support, and monitor local election processes.		X	X
Design and implement anti-corruption measures.		X	X
Transition incoming unit on the governance mission, local leadership, and progress indicator status.		X	X

TRAINING TOOLS

HOST-NATION OPERATIONS: SOLDIER TRAINING ON GOVERNANCE (HOST-G) COMPUTER-BASED TRAINING

Purpose

The HOST-G computer-based training course is designed to introduce non-commissioned (NCOs) and junior officers to the concept of governance and the Soldier skills and best practices necessary for long-term success of host-nation governance. The course contains approximately 1.5 hours of instructional content split into three modules:

- Module 1: Defining Governance
- Module 2: Conducting a Local Governance-Based Needs Assessment
- Module 3: Building a Legitimate Government in Partnership

This training is intended to be globally-applicable, such that the information presented and skills learned will be cross-nationally and cross-culturally generalizable. The training course can be distributed and used by individual Soldiers or can be used as part of, or to supplement, classroom-based instruction.
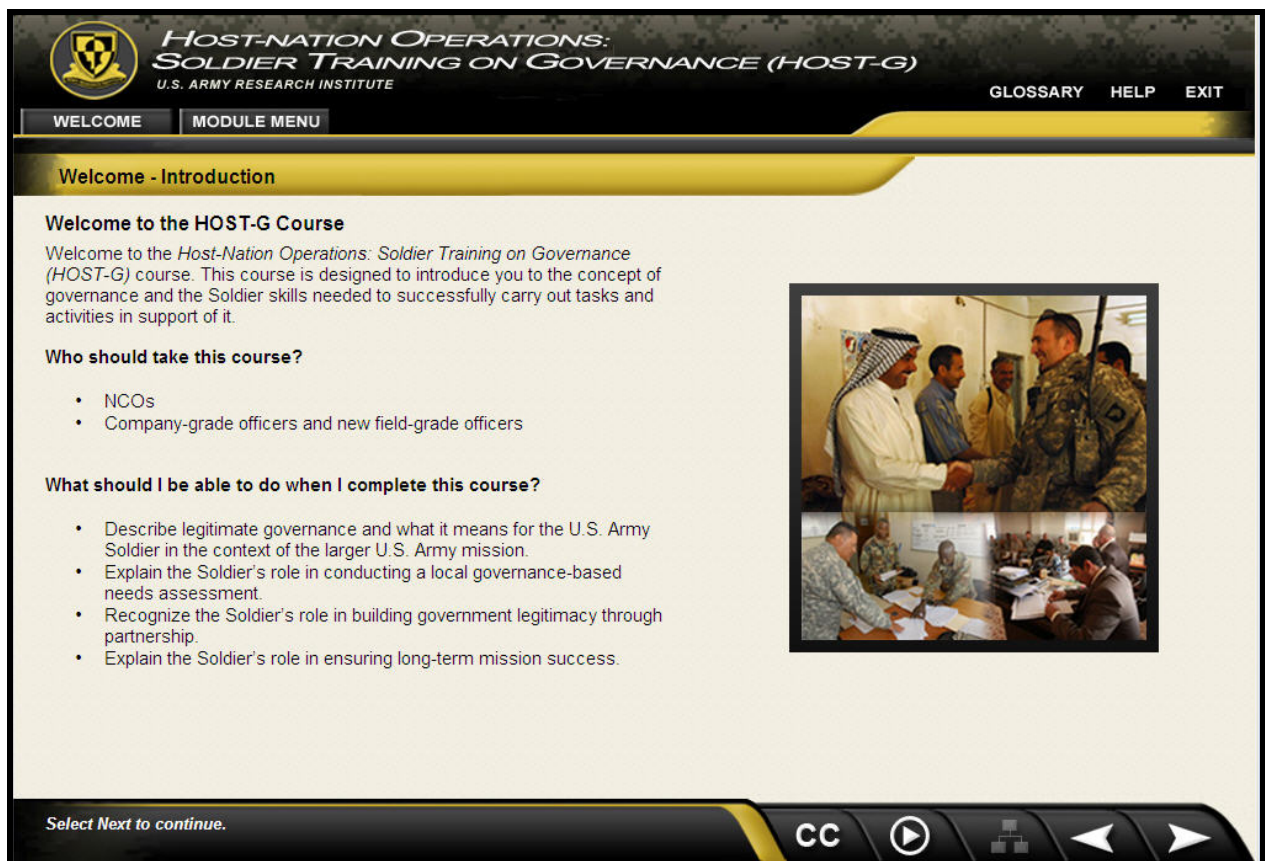
TRAINING TOOLS

Module 1: Defining Governance
FM 3-07 defines governance as "the state's ability to serve the citizens through the rules, processes, and behavior by which interests are articulated, resources are managed, and power is exercised in a society, including the representative participatory decision-making processes typically guaranteed under inclusive, constitutional authority." Module 1 provides information regarding how governance fits into Army operations, the importance of establishing good governance, and factors that determine whether or not a government is "legitimate." The module includes one true-false learning check. The learning objectives for Module 1 are provided below, and a sample of the content from Module 1 follows.

Module 1: Defining Governance Learning Objectives	
1. **Describe legitimate governance and what it means for the U.S. Army Soldier in the context of the larger U.S. Army mission.**	
1.1	Define governance and the U.S. Army activities that support it.
1.2	Describe the importance of the U.S. Army's role in establishing and supporting host-nation governance processes.
1.3	Describe the importance of establishing host-nation governance as it relates to stability, counterinsurgency, and full spectrum operations.
1.4	Describe the relationships among governance and other civil support activities performed by the Army.
1.5	List the traits that describe legitimate governance.

TRAINING TOOLS

Module 2: Conducting a Local Governance-Based Needs Assessment
No two situations can be dealt with or approached in exactly the same manner; therefore, it is critical for units to gain a thorough understanding of the local environment before establishing or working with a new government. Module 2 describes the importance of ongoing assessment, basic methods of assessing the state of existing governance, and factors to consider when vetting local officials or civil servants. The module also reviews the importance of flexibility, adaptability, and open-mindedness when interacting with host-nation citizens and setting up a local government structure. The module includes three knowledge checks that require both retention of information and application of information. The learning objectives for Module 2 are provided below, and a sample of the training content from Module 2 follows.

Module 2: Conducting a Local Governance-Based Needs Assessment Learning Objectives	
2. Explain the U.S. Army Soldier's role in conducting a local governance-based needs assessment.	
2.1	Describe the importance of conducting a governance-based needs assessment.
2.2	Identify the activities involved in a governance-based needs assessment.
2.3	Explain the importance of showing respect and demonstrating commitment to host-nation citizens as it relates to governance.
2.4	Describe the importance of flexibility, adaptability, and open-mindedness when interacting with host-nation citizens.

TRAINING TOOLS

Module 3: Building a Legitimate Government in Partnership
While interviewing Soldiers during the development of this training, a critical recurring theme was the importance of working in partnership with host-nation leaders. Module 3 describes some of the basic activities conducted in support of governance at the squad, platoon, and company/battalion level. It also details techniques for involving local leaders in those activities and coaching them on basic governance functions. The module includes three knowledge checks that include scenario-based questions. The table below provides the learning objectives for Module 3, and an example screen from Module 3 follows the table.

Module 3: Building Legitimate Government Through Partnership Learning Objectives	
3.0 Explain the U.S. Army Soldier's role in building government legitimacy through partnership	
3.1	Recognize the U.S. Army Soldier's role in building government legitimacy through partnership.
3.2	Describe the benefits of partnership with host-nation leaders from local to national levels.
3.3	Identify the activities that support the building of governance in partnership.

TRAINING TOOLS

System Platform Specifications

The course requires the following minimum system platform specifications:

- Operating System: Microsoft Windows XP SP2.
- Processor: 550 MHz or faster (1.2 GHz or faster recommended).
- RAM: 256 MB or greater.
- Sound Card: 16-bit sound card with speakers and/or headphones.
- Monitor: 1024 x 768 minimum resolution (or higher recommended) with 16-bit color depth.
- Network Connection: Not required.
- Web Browser: Internet Explorer 6.X or greater. Javascript, Active X, and cookies must be enabled; "pop-up blocker" software must be disabled or programmed to accept pop-ups.
- Plug-ins: Flash 8.0 or higher, Microsoft VM, Acrobat Reader 5.0 or higher.

Instructions for Use

The HOST-G computer-based training is housed on a CD-ROM that is enclosed with this package. There are four steps required to start the HOST-G training:

1. Place the enclosed CD-ROM into your computer's CD-ROM player.
2. For computers set up to allow Auto-Play from a CD, the program should "autorun" and open your Internet Explorer browser.
   - If "autorun" does not begin, select "My Computer" to open Windows Explorer.
   - Select your CD-ROM drive and then, within this drive, double-click on the "index.htm" file.
   NOTE: Your browser window may display the following message: *"To help protect your security, Internet Explorer has restricted this webpage from running scripts or ActiveX controls that could access your computer. Click here for options…"*
   - **If this occurs, select that message bar and then, select,** *"Allow Blocked Content…"*
   - **Next, a popup Security Warning box will likely display***:*
     - *"Allowing active content such as scripts and ActiveX controls can be useful, but active content might also harm your computer. Are you sure you want to let this file run active content? Yes / No"*
   - **Select** *"Yes"* **within this popup box***.*
   - **This process may need to be repeated while completing the training**

3. This will bring you to the "ARI HOST-G Launch Site."
4. Select the "Open Course" link to navigate to the training.

TRAINING TOOLS

NOTE: Audio narration should be heard on all screens except the Module Menu screen, the Knowledge Check screens, and on all popup windows. Audio will be heard on branching launch pages only when navigating to it from outside the branch.

If you have to scroll up/down and/or right/left to view the entire course's user interface, please select the "Maximize" icon in the upper right section of the course's screen (or select your F11 key on your computer's keyboard).

TRAINING TOOLS

GOVERNANCE SITUATIONAL TRAINING EXERCISE

Purpose
The *Governance Situational Training Exercise* (STX) is intended to serve as a tool for training platoon-level leaders on the individual and collective tasks needed to effectively support local leaders in establishing legitimate governance. The STX contains relevant training tasks, a governance-related activity, a general scenario, resource requirements, identification of roles and responsibilities, and training and evaluation outlines.

The STX contains three training tasks and a governance-related training activity. Emphasis should be placed on training junior leaders to coach host nation leaders to demonstrate the skill required to manage meetings in a productive manner. Inclusion of the other tasks permits the continued practice of troop-leading procedures and allows the involvement of other Soldiers in the training process.

Instructions for Use
Unit leadership can integrate the STX into their training timeline to coincide with other training events or exercises. The STX can be performed at a training site or near the unit's facilities. All specifications for executing the training are contained within the STX outline.

Training Tasks and Governance-Related Activity
Training and Evaluation Outlines (TEOs) are provided for each of the three training tasks. Each TEO specifies the conditions, standards, and steps for performing each task. The TEOs provide a clear means for assessing and documenting the status of training. The governance-related activity addresses a contemporary Army need that is critical to the success of governance efforts.

Task/Activity	Task number
Conduct Troop Leading Procedures	17-3-0065.17-SPTP
Conduct a Tactical Road March	17-3-0212.17-SPTP
Coach Meeting-Management Skills	Governance-Related Activity
Perform Personnel Consolidation and Reorganization	17-3-2010.17-SPTP

Scenario
The STX describes the general situation for conducting the training. It also includes the activities that each role player will be responsible for in order to achieve the intended training purpose. Role players should adhere to these tasks in order to ensure that the event occurs in a systematic fashion. If the STX is conducted in a uniform manner, evaluation of performance and feedback from observers will be more valid. A company-level operations order is also provided. It will aid in directing the training toward the intended actions and outcomes.

JOB AIDS – START OF OPERATIONS

LEGIT ASSESSMENT TOOLS

Purpose

Understanding local leaders and local governance processes is critical to stabilizing an area – particularly when a unit has just arrived. The HOST-G training support package provides two assessment aids meant to provide Solders at all levels basic questions, observations, and tips to use in collecting essential information about local leaders and governance processes. The tools are structured around a framework (LEGIT) created based on the facets of government legitimacy provided by FM 3-24.2, *Tactics in Counterinsurgency*. The components are described below:

LEGIT Components	
Leaders	Who are the local leaders?
Effectiveness/Efficiency	Does the local government provide security and other needed resources to the population?
Government Participation	Do citizens impact the government through elections, open meetings, or other means, and is the government responsive to the will of the people?
Inclusiveness/Equitable	Are all segments of the population represented and treated fairly by the government?
Transparency/Accountability	Do citizens know about and understand how the government makes decisions? Are leaders held accountable for their actions?

Instructions for Use

LEGIT - Six Types of Questions to Assess Local Governance is a small fold-out card intended for Soldiers to carry with them while out on patrol or to review before talking with local nationals. *LEGIT Questions for Officers* is meant to serve as a companion piece and provides officers or others who will be working closely with local leadership with a slightly more in-depth set of questions that can help inform the Army of existing governance structures and practices.

LEGIT – Six Types of Questions to Assess Local Governance

LEGIT - Six Types of Questions to Assess Local Governance

Understanding local leaders and local governance processes is critical to stabilizing an area. This TTP provides examples of types of questions and observations that can help inform the Army of existing governance structures and practices – especially if your unit is new to an area. When you are assessing local leaders and governments – think LEGIT!

Resources

U.S. Army. (2008). Stability Operations (FM 3-07).

U.S. Army. (2006). Tactics in Counterinsurgency (FM 3-24.2).

USAID Center for Democracy and Governance (2000). Conducting a DG Assessment: A Framework for Strategy Development.

US Institute of Peace. Guiding Principles for Stabilization and Reconstruction. Retrieved on May 24th, 2010 from http://www.usip.org/guiding-principles-stabilization-and-reconstruction-the-web-version/stable-governance.

Leaders
Who are the local leaders?

Effectiveness
Does the local government provide security and other needed resources to the population?

Government Participation
Do citizens impact the government through elections, open meetings, or other means, and is the government responsive to the will of the people?

Inclusiveness
Are all segments of the population represented and treated fairly by the government?

Transparency
Do citizens know about and understand how the government makes decisions? Are leaders held accountable for their actions?

Leaders

- Who are the leader(s) in this area?
  - Who are the most respected people in this area?
  - How and when did they become a leader(s)? How did they become so respected?
  - What are the political and/or tribal affiliations of the leaders?
  - What kinds of things do you look for in a leader (e.g., religious background, military background, age)?
- Where do you go to resolve a problem?
  - Why?
  - (If there is a formal court or other process) Is the process fair?

Effectiveness/Efficiency

- Do your local leaders/government help you get what you need (schools, hospitals, trash pickup, food/water)?
  - Observe how many schools and hospitals are in your area. Are they in use? What is their condition?
  - Observe how much trash and debris is present in the neighborhoods?
  - Does there seem to be electricity? Running water?
  - Do the citizens seem generally healthy?
  - Do people walk around in markets or other public spaces (is there a sense of safety)?

Government Participation Responsiveness/Consensus

- How are leaders chosen?
- Do your leaders listen to your concerns and ideas?
  - Observe whether or not there seems to be opportunity for citizen input at local council/tribal meetings.
  - Observe whether or not the leader(s) tends to be visible and accessible.

Inclusiveness and Equity

- Who supports (and doesn't support) your local leader(s)/government?
  - Are there any groups of people that feel left out?

Transparency/Accountability

- Do you know how and why your leaders make the decisions they do? (such as decisions about who gets money or other resources)?
- Are there rules that the leaders have to follow when they make decisions?
  - What are they?
- What happens if a leader makes a decision that many people dislike?
  - Do other leaders try to oppose him/her?
  - Is a leader ever removed from his/her position?

Tips for Conducting an Interview

- Greet the interviewee in the native language.
- Listen.
- Ask questions "why" and other follow-up questions.
- Identify interviewee's agenda (why they might be answering a certain way).
- Realize that interviewers can affect responses with how they ask questions.
- Conduct the interview in a secure, covered area so that you can remove body armor, helmet, and ballistic glasses before addressing the interviewee.
- Interpreters should be from the same ethnic group as the interviewees and should be employed in pairs if possible.
- Always talk to the interviewee, not to the interpreter.
- Rehearse with interpreters/interviewers.

LEGIT - Six Types of Questions to Assess Local Governance

U.S. Army Research Institute

For questions or additional information please contact:

Dr. Jeffrey Fite
jeffrey.fite@us.army.mil

LEGIT – Questions for Officers

Additional Important pieces of Information:

Rule of Law

- Is there a formal justice system?
- How are disputes resolved? (Is there a process in place to resolve disputes?)
- What types of security forces exist (e.g., national police, local police)?
- Are security forces held accountable?

General Perception of Population

- What does the general population perceive as the biggest problem facing the area?
- What percentage of the population reports feeling safe
- What percentage of the population thinks US and/or local government efforts are beneficial?
- Number of complaints regarding essential services (e.g., power, trash)
  - Indicator that people feel safe complaining
  - Indicator of essential service shortfalls

Resources

U.S. Army. (2008). Stability Operations (FM 3-07).

U.S. Army. (2006). Tactics in Counterinsurgency (FM 3-24.2).

USAID Center for Democracy and Governance (2000). Conducting a DG Assessment: A Framework for Strategy Development.

US Institute of Peace. Guiding Principles for Stabilization and Reconstruction. Retrieved on May 24th, 2010 from http://www.usip.org/guiding-principles-stabilization-and-reconstruction-the-web-version/stable-governance.

LEGIT Questions for Officers

Understanding local leaders and local governance processes is critical to stabilizing an area – particularly when you have just arrived. This TTP is meant to serve as a companion piece to "LEGIT - Six Types of Questions to Assess Local Governance" and provides officers or others who will be working closely with local leadership with a slightly more in-depth set of questions that can help inform the Army of existing governance structures and practices. LEGIT is based on the facets of government legitimacy FM 3-24.2, Tactics in Counterinsurgency. The components are described below:

Leaders — *Who are the local leaders?*

Effectiveness — *Does the local government provide security and other needed resources to the population?*

Government Participation — *Do citizens impact the government through elections, open meetings, or other means, and is the government responsive to the will of the people?*

Inclusiveness — *Are all segments of the population represented and treated fairly by the government?*

Transparency — *Do citizens know about and understand how the government makes decisions? Are leaders held accountable for their actions?*

For questions or additional information please contact:
Dr. Jeffrey Fite
jeffrey.fite@us.army.mil

LEGIT – Questions for Officers

Leaders:

- Who are the key leaders in the area?
  - Who impacts perceptions?
  - Who has the power to mobilize the population?
  - Who has access to resources?
  - Who is trusted to resolve problems?

- For each of these people – what is his/her primary motivation (e.g., commitment to a cause, greed, religious beliefs)?

- For each of these people, what are his/her political, tribal, ethnic, and/or family affiliations?

- How does he/she assert their influence (formal leadership role, moral authority, personal charisma, access to resources)?

- Who are his/her core supporters, and who are their enemies?

- Is this person supportive of U.S. forces and host nation goals and objectives?

Effectiveness/Efficiency of Government

- Is there a process in place to administer social services?
- Are there basic administration buildings? How many? Where are they?
- Are facilities being maintained?
- What percent of the population has access to basic public services? Use SWEAT-MSO:
  - Sewage
    - Is there a functional sewage system?
  - Water/Food
    - E.g., What percent of the area has access to clean water?
    - E.g., What percent of the area has access to food?
  - Electricity
    - E.g., What percent of the area has power?
  - Academics
    - E.g., Are there schools in the area? How many? Where are they? Are they for girls or boys?
  - Trash
    - E.g., What percent of the area has regular trash pick-up?

- Medical
  - E.g., Are there hospitals in the area? How many? Where are they?
- Security
  - E.g., Are people in the markets?
  - E.g., Do people report feeling safe?

- Other Considerations
  - E.g., What is the unemployment rate in the area?
  - Where do workers travel to or from?
  - Are these services being supplied equally across different ethnic groups?

Government Participation/Responsiveness/Consensus

- How are leaders chosen?
- Are there elections? If so, what is the voter turnout (if elections exist)?
- What are other ways for citizens to provide input (tribal councils, local meetings)?

Inclusive and Equitable

- Are all groups (e.g., ethnic, race, gender, tribal) represented in the governing body?
  - Are there key grievances keeping some groups out? What are they? Which group is being excluded?
- Do existing leaders demonstrate a basic respect for human rights?

Transparency/Accountability

- How do leaders/government communicate with the population?
- How are leaders held accountable?
- Is there a means for the leaders to provide information to citizens about what their government is doing?
- Do you know how and why your leaders make the decisions they do (such as decisions about who gets money or other resources)?
- How do leaders track money that is spent and received?

JOB AIDS – START OF OPERATIONS

GOVERNANCE ANNEX TO CONTINUITY BOOKS

Purpose

The purpose of a continuity book is to maintain consistency between units working in the same areas over different periods of time and enable incoming units to build upon the work done by previous units. A continuity book can provide a wealth of information about a region's current state, local leaders, general climate of the populace, ongoing projects, upcoming events, and more. Without this type of documentation, personnel will spend time and energy relearning what has already been accomplished, and may miss out on important findings and progress achieved by those previously in that area. The *Governance Annex* should be used as a guideline for documenting governance-specific information that will be helpful to an incoming unit.

Instructions for Use

The *Governance Annex* includes a template for some of the basic information that could be documented for future use. A user can modify the electronic copy of the annex, print the pages out, or simply transfer the content into a format that is more appropriate for the unit.

JOB AIDS – DURING OPERATIONS

GOVERNANCE METRICS WORKBOOK

Purpose
The *Governance Metrics Workbook* is a tool designed to aid leadership at the battalion or brigade level in measuring and evaluating progress within the governance line of effort (LOE) during stability operations. It replaces a commander's "gut feeling" of progress with a formal, doctrine-based method of measurement. The framework identifies discrete desired conditions that will achieve the necessary end state. It also provides specific indicators that subordinate elements can collect data on in order to gauge the effectiveness of governance efforts. The assessment framework is adaptable to any operational environment, a specific stage within operations, or a commander's particular information requirements.

The *Governance Metrics Workbook's* development is based on the assessment process described in FM 5-0, *The Operational Process* (March 2010). Chapter 6 and Appendix H of the manual explain the process and characteristics of assessment and provide guidelines for creating an assessment framework. The workbook reflects the doctrinal language and assessment framework depicted below.
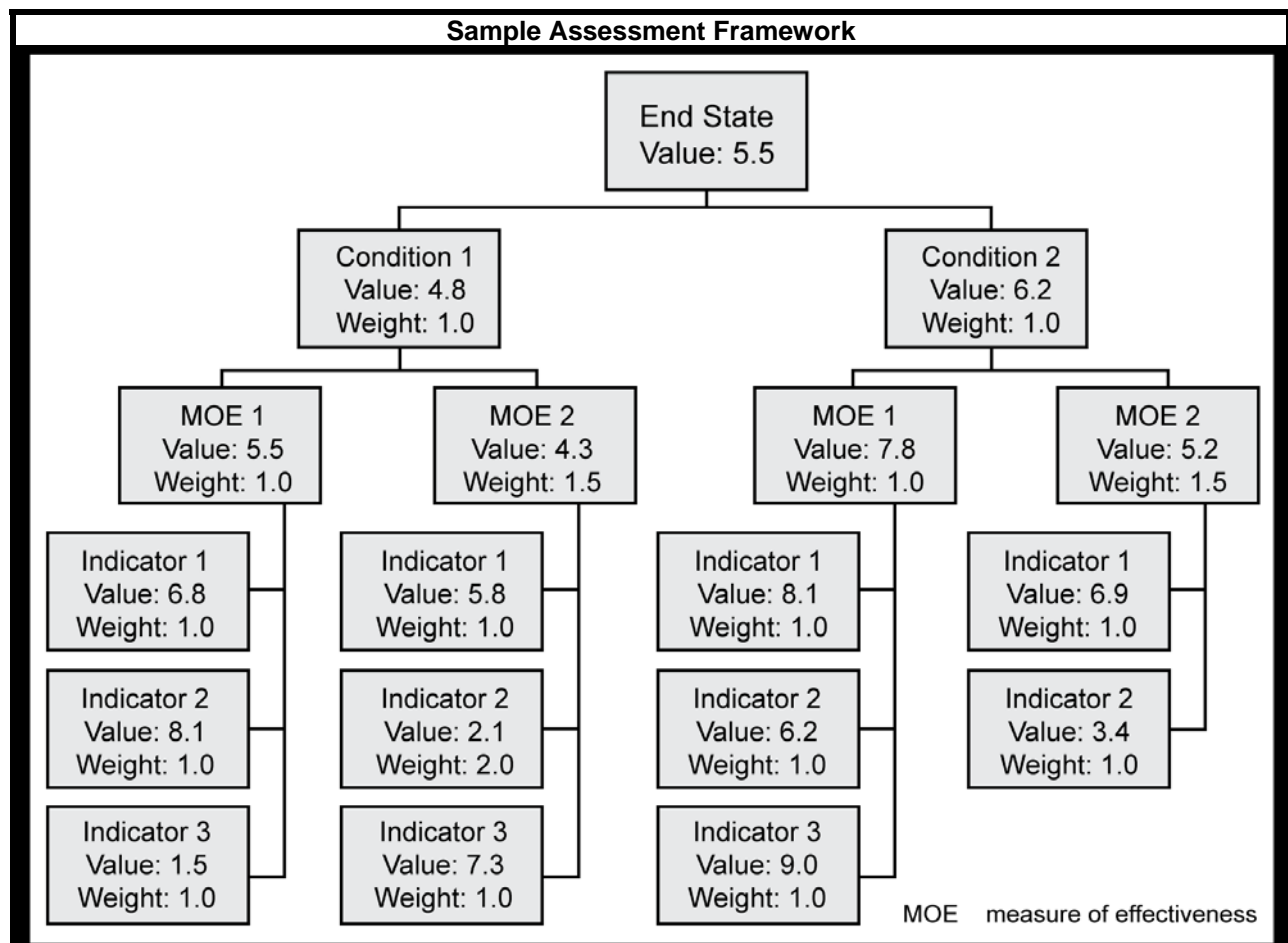
(Source: Figure H-3, FM 5-0, *The Operations Process*, March 2010)

JOB AIDS – DURING OPERATIONS

Interface

It is recommended that the *Governance Metrics Workbook* be used in conjunction with the *Governance BOLO Worksheet*. The *Governance BOLO Worksheet* reflects the indicators included in the workbook and it serves as the tool for gathering information on governance indicators, measures of effectiveness, and desired conditions. Subordinate units (battalion or company) have responsibility for gathering that information and forwarding those data so they can be incorporated into the workbook in a methodical manner.

The gathered information can be aggregated on a monthly basis. The workbook allows information to be easily presented to senior leadership using the table included in the "Overall Status for PowerPoint" worksheet. Units may also develop their own formats for presenting the information.

		Governance Metrics Workbook	

	A	B	C	D	E	F	G	H	I	J	K	M	N
1	**Desired Condition: Functional Rule of Law**												
2/3	**Overall Status**	**3.62**											
4	MOE 1:	Functional Judicial System										MOE Status	4.28
5	Weight	Indicator											
6	1	1A. Judges are present or accessible within the local area										Ave Progress	3.5
7	2	1B. Judges have needed legal resources or access to them										Ave Progress	4
8	3	1C. Judges have adequate staffing										Ave Progress	4
9	1	1D. Judges have appropriate education										Ave Progress	5
10	2	1E. Staffing of judicial system is representative of population										Ave Progress	5
11	MOE 2:	Adequate Physical Infrastructure										MOE Status	1.00
12	Weight	Indicator											
13	1	2A. Designated facility (courthouse) for judicial decisions										Ave Progress	1
14	2	2B. Judicial facilities have adequate physical security										Ave Progress	1
15	3	2C. Judges have adequate security										Ave Progress	1
16	1	2D. Office space and equipment adequate to conduct day-to-day										Ave Progress	1
17	MOE 3:	Individual Property (land, home, business) Rights										MOE Status	3.22
18	Weight	Indicator											
19	1	3A. Means for confirming the identification of individuals and/or their property exist										Ave Progress	1
20	2	3B. Methods for document and evidence control exist										Ave Progress	1
21	3	3C. Means and resources for investigating crimes exist										Ave Progress	4
22	1	3D. The public perceives that the judicial system has the authority to resolve issues regarding property										Ave Progress	4
23	2	3E. The public perceives that the judicial system will preserve and protect their property rights										Ave Progress	5
24	MOE 4:	Law is Explicitly Known										MOE Status	1.86
25	Weight	Indicator											
26	1	4A. Laws have been published, reported, and widely disseminated										Ave Progress	1
27	2	4B. Methods (e.g. word of mouth, newspaper, television) for disseminating legal information are being used										Ave Progress	2
28	3	4C. The public indicates an understanding of existing law and appropriate conduct										Ave Progress	2
29	1	4D. The public indicates an understanding of the consequences for disobeying the law										Ave Progress	2
30	MOE 5:	Existence of Mechanism for Resolving Disputes										MOE Status	5.00
31	Weight	Indicator											
32	1	5A. Reduction in using informal, traditional (religious leaders, elders, or affluent individuals) for conflict resolution										Ave Progress	5
33	2	5B. Public perceives the judicial system as a fair means for resolving disputes										Ave Progress	5
34	MOE 6:	Coordination Between Police and Judiciary										MOE Status	5.00

Instructions / Overall Status for PPT \ Rule of Law / Represent&Participate / Effective&Efficient / Accountable&Transparent / Equitable&

Ready — NUM

JOB AIDS – DURING OPERATIONS

Instructions for Use
The Workbook includes five worksheets for the five desired conditions that constitute the end state for legitimate local governance. Each of the desired conditions is comprised of measures of effectiveness (MOE). The MOE are represented by a collection of indicators. FM 5-0 provides the following definition for MOEs and indicators.

> *"A measure of effectiveness is a criterion used to assess changes in system behavior, capability, or operational environment that is tied to measuring the attainment of an end state, achievement of an objective, or creation of an effect (JP 3-0)."* (pg. 6-2)

> *"An indicator is an item of information that provides insight into a measure of effectiveness or measure of performance."* (pg. 6-3)

Weights and Indicators
Each indicator has a weight associated with it (blue shading). The weight determines whether the indicator is relevant to the assessment and the unit's value of the indicator. The weight can range from 0 to 3. If an indicator is not relevant to the assessment, it should be assigned a 0. This will exclude it from the assessment and any computations. If all indicators are of equal value, they should be assigned a 1. If some indicators have greater importance, they can be assigned a value of 2 or 3. The assigned weight will impact how progress associated with a specific indicator should be evaluated and how it influences the MOE Status.

Average Progress
Each indicator requires the unit to provide an estimate of progress associated with it (blue shading). The estimate should come from the information that subordinate elements provide and should be an average of that information. Since the *Governance BOLO Worksheet* requires an individual to rate progress on a 1 to 5 scale, the average progress regarding that indicator should also be between 1 and 5. Users may enter decimals in order to accurately reflect average progress. If a user attempts to enter a value greater than 5, they will be warned that they have provided an unacceptable value.

MOE Status
The MOE Status is a weighted average of the progress being made on the relevant indicators within the MOE. As a weighted average, it retains a 1 to 5 scale. MOE Status also uses a basic Red/Amber/Green color scheme to indicate the level of progress. Lower averages will be reflected as red and indicate that minimal progress has been made. Higher averages will be reflected as green and indicate that significant progress has been made.

Weighted Average and Corresponding Color				
1	2	3	4	5
Red = Less than 1.67		**Amber** = 1.67 to 3.34		**Green** = Greater than 3.34

JOB AIDS – DURING OPERATIONS

Overall Status
The Overall Status is an average of the values associated with all of the relevant MOEs. It uses the same color scheme as the MOEs that contribute to it.

Overall Status for PowerPoint Worksheet
The worksheet was designed to graphically display progress for the governance LOE in a simple manner. Using the Red/Amber/Green scheme, it allows leadership to view changes in status for each desired condition over a twelve-month period. Users must manually fill out this sheet on a monthly basis. To do so, the user must consider the Overall Status for each desired condition and copy that color to the corresponding cell on the *Overall Status for PowerPoint* worksheet. Based on the colors of the desired conditions, leadership can then make a final assessment on the LOE's Overall Status at that point in operations. When completed, the *Governance Metrics Workbook* can be imbedded into a Power Point slide in order to display the information contained in the Overall Status for PowerPoint worksheet.

Customization
Each worksheet includes the option to add an additional MOE according to a unit's requirements. As a default, it is excluded from computation until values are assigned to it. Units have the capability to add indicators that are appropriate to their information requirements. The additional MOE is located at the bottom of each worksheet and is titled "User Specified." Units may edit the cell to include their measure of interest. The indicators are highlighted in blue and can be modified accordingly.

The capability to assign a weight of zero to any indicator allows a unit to ignore that particular indicator. If a MOE is not relevant to information requirements, assigning a weight of zero to all of its indicators will exclude it from any computation of the Overall Status. This helps to ensure that the workbook only reflects applicable measures.

JOB AIDS – DURING OPERATIONS

Unit-Specified Measure of Effectiveness and Indicators

	A	B	C	D	E	F	G	H	I	J	K	M	N	O
1	**Desired Condition: Functional Rule of Law**													
2 / 3	**Overall Status**		**3.62**											
40	**Weight**	**Indicator**												
41	1	7A. Public perceives the court to be impartial										Ave Progress	5	
42	2	7B. Public perceives court judgments to be just										Ave Progress	5	
43	3	7C. Public perceives that the judicial system can enforce its judgments										Ave Progress	5	
44	**MOE 8:**	*User Specified*										**MOE Status**		
45	**Weight**	**Indicator**												
46	0	8A.										Ave Progress	0	
47	0	8B.										Ave Progress	0	
48	0	8C.										Ave Progress	0	
49	0	8D.										Ave Progress	0	
50														
51														
52														
53														

Instructions / Overall Status for PPT / **Rule of Law** / Represent&Participate / Effective&Efficient / Accountable&Transparent / Equitable&

Ready   NUM

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JOB AIDS – DURING OPERATIONS

GOVERNANCE BOLO WORKSHEET

Purpose
The *Governance BOLO Worksheet* is a tool designed to aid units in gathering the information that will allow them or their higher headquarters to measure and evaluate progress within the governance LOE during stability operations. It provides a formal, structured, and systematic means for monitoring and assessing specific aspects within the environment that may be influenced by governance efforts. Using the worksheet gives leaders a clear idea of what they should *be on the lookout* (BOLO) for when conducting missions.

The worksheet can be tailored to match the operational environment and operational requirements. Leaders at the company or battalion level can use it as their primary means for collecting data. What information the unit focuses on gathering can be changed to be in alignment with the information requirements of higher headquarters.

Interface
The *Governance BOLO Worksheet* was designed to be used in conjunction with the *Governance Metrics Workbook*. The *Metrics Workbook* dictates what specific information should be collected, while the BOLO Worksheet is the apparatus for providing data to higher headquarters for incorporation in to their *Metrics Workbook*. Because of this link, the worksheet uses the same language as the workbook.

Instructions for Use
The worksheet was designed to be a simple, one-page means for gathering information while on patrol. Based on guidance from higher, a leader should modify the electronic version of the worksheet to match the guidance, print the document, and take it with them to complete during the mission. The leader should deliberately look for and/or observe these indicators of progress.

JOB AIDS – DURING OPERATIONS

GOVERNANCE BOLO WORKSHEET

Instructions: During your mission, be on the lookout (BOLO), whether through interaction or observation, for the following indicators of governance activity within your AO. Continuous monitoring of these indicators will inform the metrics that your higher HQ uses to assess overall progress within the Governance Line of Effort (LOE) and progress toward mission objectives. Using the drop-down lists, select the indicators designated by your leaders and print the document to take with on your patrol.

Name:	1LT JOE SMITH	Start DTG:	150700LSEP05
Unit:	1/C/1-999 IN	End DTG:	151700LSEP05
Primary Loc for Data Collection:	HABBANIYAH	MGRS:	

Functional Rule of Law		No				Yes
Indicator 1:	1A. Judges are present or accessible within the local area	1	2	3	4	5
Indicator 2:	2B. Judicial facilities have adequate physical security	1	2	3	4	5
Indicator 3:	3C. Means and resources for investigating crimes	1	2	3	4	5
Indicator 4:	4D. The public indicates an understanding of the consequences for disobeying the law	1	2	3	4	5
Indicator 5:	5A. Reduction in using informal (i.e., religious leaders) mechanisms for conflict resolution	1	2	3	4	5

Representative & Participatory Government		No				Yes
Indicator 1:	1C. Terms of office have been specified for government positions	1	2	3	4	5
Indicator 2:	2D. Absence of intimidation or conflict between opposing parties	1	2	3	4	5
Indicator 3:	3D. Local government adheres to election outcomes	1	2	3	4	5
Indicator 4:	4E. Large proportion of population participates in elections	1	2	3	4	5
Indicator 5:	5E. Public perceives that elected officials will competently perform their duties	1	2	3	4	5

There are three parts to the worksheet: desired conditions, indicators, and the leader's assessment of progress.

Desired Conditions
The worksheet is divided into five desired conditions: functional rule of law, representative and participative government, effective and efficient administration, accountability and transparency, and equitable and inclusive. Those desired conditions represent the elements that characterize and achieve an end state of legitimate local governance. The *Governance Metrics Workbook* further divides these conditions into measures of effectiveness (MOE) which are the criteria for gauging changes that may be due to operational efforts. The MOE are not represented in the worksheet.

Indicators
Indicators are pieces of information that provide insight into a MOE. They may be events, actions, or attitudes that suggest change or progress is occurring. Events and actions will be observable, while attitudes will have to be gauged through continual interaction with the local populace.

JOB AIDS – DURING OPERATIONS

Within the *Governance Metrics Workbook*, each indicator is uniquely numbered to correspond with its MOE (e.g., the first indicator of the first MOE would be numbered 1A). This allows higher headquarters to clearly specify which MOE are important to the mission and which indicators will provide relevant information for measuring progress. Conversely, it allows subordinate elements to clearly communicate what specific information they have successfully observed or assessed.

The worksheet allows the subordinate unit to collect information on five indicators per desired condition. Because information gathering is limited to five indicators, leadership should prioritize which ones are most critical or are most applicable to the subordinate unit's area of responsibility. Once the indicators are known, a leader can select them from the drop-down list contained within the spreadsheet cell. Each of the five cells associated with a desired condition contain all of the possible indicators, regardless of their respective MOE.

NOTE: *Depending on the operational environment and/or information requirements, higher headquarters may develop a MOE and indicators that are not specified in the Metrics Workbook in order to measure elements that are relevant to the mission. The drop-down lists reflect these unspecified indicators. For example, when selecting the first indicator for Rule of Law, the user can select indicators 8A through 8D. When this is applicable, the leader will have to write in the relevant indicator.*

Assessment of Progress
To the right of each indicator is a five-point scale that leaders will use to assess progress pertaining to that indicator. The leader will need to make a subjective assessment as to whether progress is occurring. The lower end of the scale represents no action, no activity, or negative attitudes. The higher end of the scale represents appropriate actions, sufficient activity, or positive attitudes. Example indicators are shown below.

Indicator 1A of Functional Rule of Law: Judges are present or accessible within the local area				
No				**Yes**
1	2	3	4	5
No judges are available to the local area	Judges are available only if provisionally provided by higher levels of government	Judges may travel to local area or population can access nearby judges	Judges are present, but not in sufficient number for local area	Judges are present and in sufficient number for the local area

JOB AIDS – DURING OPERATIONS

Indicator 6C of Functional Rule of Law: Public perceives that police will enforce rule of law				
No				Yes
1	2	3	4	5
Public indicates no confidence that police will enforce rule of law; Actions do not adhere to rule of law		Public indicates mixed attitudes that police can enforce rule of law; Occasional illegal activity occurs		Public is confident that police will enforce rule of law; Public adheres to rule of law

Valid Assessment and Measurement

Units should try to maintain the same conditions each time they gather information on an indicator and make an assessment regarding progress. For instance, the same leader should gather information on a specific indicator over a period of time. This will help to ensure that the same subjective assessment is made each time. Alternatively, the subjective approach must be understood and practiced in the same manner by all leaders. Maintaining a similar environment each time indicators are assessed is also important. Leaders should gather information from the same location or groups of people in order to maintain consistency and uniformity.

Leadership will also need to determine the frequency in which indicators are assessed (i.e. weekly, bi-weekly) in order to ensure that information is gathered and recorded in a methodical manner. The frequency may have an impact on how clearly progress can be measured. If an indicator cannot be assessed in a consistent manner, this should be noted when reporting progress.

At the end of the mission, or when specified by higher headquarters, the unit will submit their assessments to higher headquarters. If data is submitted less frequently than it is collected, the unit will need to clearly identify the specific dates on which data was gathered or compute an average assessment for each indicator assessed during that time period.